



# Department of Defense INSTRUCTION

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Administrative Reissuance Incorporating Change 1, July 30, 1986

IG, DoD

SUBJECT: Uniform Criminal Investigative Report Format

References: (a) DoD Directive 5106.1, "Inspector General of the Department of Defense," March 14, 1983

(b) DoD 5000.12-M, "DoD Manual for Standard Data Elements,"

October 1984, authorized by DoD Instruction 5000.12, April 27, 1965

## 1. PURPOSE

Under reference (a), this Instruction provides policy, prescribes procedures, and assigns responsibilities for the uniform reporting of the results of criminal investigations.

## 2. APPLICABILITY AND SCOPE

2.1. This Instruction applies to the Office of the Secretary of Defense and the Military Departments.

2.2. Specifically, it applies to the Defense Criminal Investigative Service, the Army Criminal Investigation Command, the Naval Investigative Service, and the Air Force Office of Special Investigations (AFOSI) (hereafter referred to collectively as "DoD Criminal Investigative Organizations").

## 3. POLICY

It is DoD policy to ensure that criminal investigations within the Department of Defense are reported uniformly by all DoD Criminal Investigative Organizations.

#### 4. PROCEDURES

A formal Report of Investigation (ROI) shall be used to report the results of a criminal investigation. Its sectional format has been designed to provide adequate flexibility to accommodate specific and traditional management information needs as well as current records systems of the individual DoD **Criminal** Investigative **Organizations** and, at the same time, to present a standardized and uniform package to the various recipients of DoD criminal investigative reports. DoD standard data elements and codes from reference (b) shall be used to the greatest extent possible when complying with these reporting requirements. A completed investigation may consist of one or more ROIs depending on the duration, complexity, and geographical locations of the investigation. The ROI shall be prepared in the following **suggested** order:

4.1. Cover Sheet. Use of a cover sheet is optional. DoD **Criminal** Investigative **Organizations** may design format and content to suit individual needs.

4.2. Front Page. DoD **Criminal** Investigative **Organizations** shall use a design that satisfies internal management and control requirements, such as case category, requestor, dissemination, investigative disposition (resolved, unresolved, unfounded), internal status (closed, pending, referred), and identification of reporting agent and participating agents.

4.3. Identities. This section shall constitute the title of the ROI and shall be reserved for the designation of the subject (principal suspect), co-subject, victim, entity, or incidental and impersonal (generic) titles.

4.3.1. In the case of military personnel, it shall include full name, date and place of birth, social security number, rate or rank, and current duty assignment.

4.3.2. In the case of civilian personnel, it shall include full name, date and place of birth, and social security number plus civil service grade, if appropriate, position, place of employment, and home address.

4.3.3. Inclusion of additional identifying information, such as physical description, is discretionary.

4.3.4. If data such as the social security number is unavailable, as in the case of a foreign national, unknown ("UNK") or not applicable ("N/A") shall be indicated and some other uniquely identifying data, if available, shall be entered.

4.4. Synopsis. This section shall be a concise summation of the results of the investigation and shall answer the questions, who, what, when, where, how, and why, if known; shall establish the basic elements of proof for the offenses developed during the investigation; and shall include the dollar value of the loss or recovery in appropriate cases. A synopsis usually may not exceed one page in length, preferably shall be shorter, and shall be included in every ROI in which the length of the narrative or body of the report justifies the need. (A two-page "lead" ROI may not require a synopsis, but a three-page or longer ROI shall contain a synopsis.)

4.5. Statutes. This section shall cite the primary specific violations of the Uniform Code of Military Justice (UCMJ) or United States Code (U.S.C.) that the investigation supports. This procedure will help the investigator to develop the case professionally and effectively and to present available relevant evidence. The citation of violations will not attempt to list every possible offense; rather, the citation of the primary violations shall focus the review on critical evidentiary elements necessary for a successful prosecution.

4.6. Background. This section shall present a factual account of the basis for the investigation and shall be included in each investigation.

4.7. Special Program Information. This section shall be included only in appropriate cases, such as fraud, economic crime, and public corruption category investigations, to describe briefly a specific or not commonly known DoD program, procedure, or regulation crucial to understanding the offense and thrust of the investigation. This section may be placed within the ROI whenever it facilitates reader, and particularly prosecutor, comprehension of the investigation.

4.8. Narrative. This section shall present details of the investigative findings with emphasis on offenses rather than steps taken in developing the investigation. The narrative shall present sufficient information to the consumer to describe clearly and concisely the manner in which the suspect violated the law and what evidence was collected in support of the findings. The ROI may not contain recommendations, opinions, or conclusions of the writer and shall be structured as follows:

4.8.1. The narrative shall be presented in continuously numbered paragraphs under descriptive headings (see enclosure 1) following logical form or chronological order to ensure comprehension and readability (that is, a sectional format with DoD Criminal Investigative Organizations instructions as to content, but not so rigidly structured as to inhibit clear, concise presentation of the investigative results).

Separate pages may not be used to report individual investigative steps or procedures.

4.8.2. Exhibits, such as sworn statements, photographs, subpoenas, copies of correspondence, records, canceled checks, and other documentary materials, that will be attached to the ROI shall be identified by number when first referred to in the narrative and shall be listed sequentially in the exhibits section.

4.8.3. Pertinent observations of the investigator, such as contradictions in the statement of a witness and conditions, events, and appearances at an interview, are appropriate, provided this information is plainly set off from the general text of the ROI and is identified clearly as the investigator's observation.

4.9. Law Enforcement Records. This section shall include the results of file checks of the Defense Central Index of Investigations and, if appropriate, other federal, state, or local law enforcement agency records of "identities."

4.10. Exhibits. This section shall list numerically and shall identify each document as it is referred to sequentially in the narrative and shall describe briefly the contents or significance of the exhibit. Also, it shall specify the location of the original document and in lengthy ROIs shall cross-reference the specific paragraph of the narrative wherein the exhibit is cited.

4.11. Investigative Status and Prosecutive Status. These sections either may be reported separately or may be combined, as appropriate. The sections are important in keeping commanders and program managers informed of the status of investigations and in tracking the disposition of cases.

4.11.1. The investigative status section shall be used to report succinctly the specific details of the status of the investigation at the time the ROI is submitted. The following are examples of investigative status entries:

4.11.1.1. "Closed" or "Lead Completed."

4.11.1.2. "On May 13, 1983, the investigation was referred to Special Agent J.R. Brown, Federal Bureau of Investigation, Atlanta, who accepted jurisdiction."

4.11.1.3. "Investigation is pending apprehension of subject, who is currently a fugitive."

4.11.1.4. "Investigation is pending results of audit by the Army Audit

Agency, which began April 15, 1983. Estimated completion date of the audit is June 30, 1983."

4.11.1.5. "Investigation is pending crime laboratory examination of evidence and interrogation of subject."

4.11.1.6. "Investigation is pending completion of lead forwarded to AFOSI District 46, Kadena, Air Force Base, Japan, to interrogate co-subject."

4.11.2. The prosecutive status section is intended primarily for cases referred to U.S. Attorneys or to other federal, state, or local jurisdictions for criminal prosecution, civil litigation, or administrative action. However, prosecution under the UCMJ or DoD administrative action also shall be reported under this section, which shall contain a detailed account of dates and identities and a concise summary of the results of pertinent contacts with the prosecutor or agency official. Some of the DoD **Criminal Investigative Organizations** require that evidence developed during an investigation be segregated into witness testimony and documentary evidence and summarized according to specific violations of the U.S.C. or UCMJ that the evidence supports. Continuation of this procedure under the prosecutive status section shall be permitted provided the remainder of the ROI follows the guidance of this Instruction.

4.12. Administrative Actions. All administrative control and management procedures, such as forwarding leads and requesting authorization for special techniques, shall be accomplished within each DoD **Criminal Investigative Organization** by separate internal documentation. Such documentation shall remain part of the case history file, but will not be part of the ROI. Likewise, perceived programmatic or systemic deficiencies discovered during criminal investigations, as well as observations of noncriminal or administrative weaknesses, shall be documented and reported to the commander concerned and interested management officials; however, the vehicle for reporting this information shall be separate from the criminal ROI.

## 5. RESPONSIBILITIES

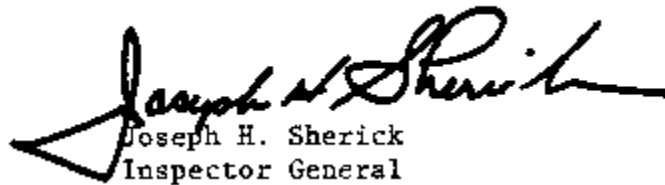
5.1. The Inspector General, Department of Defense, shall monitor, evaluate, and provide guidance regarding the implementation of this Instruction.

5.2. The Secretaries of the Military Departments shall comply with this Instruction.

5.3. The Heads of DoD Criminal Investigative Organizations shall ensure that this Instruction is implemented within their Agencies.

## 6. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward one copy of implementing documents to the Inspector General, Department of Defense, within 120 days.



Joseph H. Sherick  
Inspector General

Enclosures - 1

1. Suggested Narrative Headings

E1. ENCLOSURE 1  
SUGGESTED NARRATIVE HEADINGS

E1.1.1. The following is a list of suggested headings for the narrative section of the ROI. Other headings may be used, as appropriate.

E1.1.1.1. Interview of Source.

E1.1.1.2. Interview of Witnesses.

E1.1.1.3. Crime Scene Examination.

E1.1.1.4. Surveillance.

E1.1.1.5. Consensual Monitoring.

E1.1.1.6. Interrogation (or Interview) of Subject.

E1.1.1.7. Coordination with Federal Bureau of Investigation (or other law enforcement agency).

E1.1.1.8. Laboratory Examination of Evidence.

E1.1.1.9. Apprehension of Subject.

E1.1.1.10. Handwriting Exemplars.

E1.1.1.11. Identification Lineup.

E1.1.1.12. Military Service Record (or Personnel Record).

E1.1.1.13. Search Warrant.

E1.1.1.14. Subpoena.

E1.1.1.15. Credit Records.

E1.1.1.16. Medical Records.

E1.1.1.17. Coordination with Staff Judge Advocate.

E1.1.1.18. Command Notification.

E1.1.1.19. Other Investigative Aspects. (Report unproductive investigative efforts, the omission of which would appear illogical.)

E1.1.1.20. Loss or Recovery Value.